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approving trade of security after credit rating approval of unlisted issuer of secu

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Jan 1, 1995--Jan 1, 2003

eMuni Glossary of Municipal Bond Terms
www.emuni.com/glossary.html
Jan 31, 2001 - A short-term **security**, one year or less, used for interim financing to be repaid **...** This will provide a **credit rating** of triple-A and thus a lower borrowing cost for the **issuer**. ... Technically a broker is a bond **trader** in the secondary market buying from **... since** Proposition 13 because COP issuance does not require voter **approval**.

[PDF] FORM X-17A-5 PART IIA
www.sec.gov/about/forms/formx-17a-5_2a.pdf
File Format: PDF/Adobe Acrobat - Quick View
Jun 30, 2002 - OMB **APPROVAL ... securities**. A series of contracts of purchase or sale of the same **security ...** price within a relatively short time conforming to **trade** custom. **...** The broker or dealer must **report** all data **after** proper accruals have been made for **... credit** for short-term financing shall be disclosed, if significant, in notes to the **...**

[PDF] Investment Advisers Act of 1940
www.sec.gov/about/laws/ia40.pdf
File Format: PDF/Adobe Acrobat - Quick View
Jan 31, 2001 - [AS AMENDED THROUGH P.L. 112-90, **APPROVED** JANUARY 3, 2012] **...** voting **securities** by a **security** holder of the assignor; but if the **...** investment adviser of one or more members who, **after** such ..... (28) The term "**credit rating** agency" has the same mean .... to **unlisted trading** privileges on any national **securities** ex **...**

[PDF] Table of Contents
www.nasdaq.com/about/nasdaq_listing_req_fees.pdf
File Format: PDF/Adobe Acrobat - Quick View
Mar 31, 2002 - FEES FOR LISTING A NEW CLASS OF **SECURITIES** . ..... Such an application will be **approved** and effected as soon as practicable if the **security** meets the **...**

15 USC Chapter 2B - SECURITIES EXCHANGES | LII / Legal ...
www.law.cornell.edu/uscode/text/15/chapter-2B
Jan 31, 2001 - National market system for **securities**; **securities** information processors · § 78l. **...** Applications for **unlisted trading** privileges deemed filed under section 78l of this title · § 78m. **...** Prohibited foreign **trade** practices by persons other than **issuers** or domestic concerns · § 78ee. **...** Study and rulemaking on assigned **credit ratings**.

Raymond James | Glossary of Investment Terms
www.raymondjames.com/gloss.htm
Jan 31, 2001 - Accrued interest -- The interest due on a bond **since** the last interest payment was made. ... The annual **report** shows assets, liabilities, revenues, expenses and **...** Auction market -- The system of **trading securities** through brokers or agents on an **...** that does not have the owner's name registered on the books of the **issuer**.

Amended Implementing Rules and Regulations of the Securities
www.chanrobles.com/republicactno8799amendedrules.html
Jul 19, 1998 - All **securities** of the same class beneficially owned by a person, regardless of the form **...** foreign exchange rate, index of prices or rates, a **credit rating** or credit index, **...** in the market price or value of any of the **issuer's securities**, or would potentially ... been **approved** by the Commission, by their members and/or participants.

PART 220---CREDIT BY BROKERS AND DEALERS (REGULATION T)
ecfr.gpoaccess.gov › ... › Electronic Code of Federal Regulations
Jan 31, 2001 - (1) Any **security** registered or having **unlisted trading** privileges on a national **securities** exchange;. (2) **After** January 1, 1999, any **security** listed on the Nasdaq **...**

Glossary of Financial Terms
www.linkmarketservices.com.au/corporate/.../Glossary.html
Jul 1, 1998 - The Depositary Receipt evidences the home market **security** which **trades** in a foreign **...** once in each calendar year and within five months **after** the end of its financial year. **...** If an **Issuer** is **unlisted**, they do not have to abide by the Listing Rules. ... and registering transfers of CHESS **approved securities** by electronic means.

Section 203 -- Registration of Investment Advisers
taft.law.uc.edu/CCL/InvAdvAct/sec203.html
Jan 31, 2001 - **Securities** Lawyer's Deskbook ... or reports with respect to **securities** listed or admitted to **unlisted trading** privileges on any national **securities** exchange; **....** on the record **after** notice and opportunity for hearing, that such censure, placing of **...** government **securities** dealer, fiduciary, transfer agent, **credit rating** agency, foreign **...**

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